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PTO/SB/021 (08-00)

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<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/852,958
	Filing Date	05/10/2001
	First Named Inventor	David A. Sirbasku
	Group Art Unit	1623
	Examiner Name	To Be Assigned
Total Number of Pages in This Submission	Attorney Docket Number	1944-00201

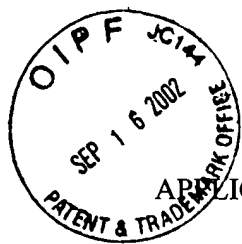
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<div style="border: 1px solid black; padding: 5px; min-height: 40px;">Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm Or Individual Name	Carol G. Mintz, Reg. No. 38,561 Conley Rose & Tayon, P.C.
Signature	
Date	September 11, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: September 11, 2002.			
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: David A. Sirbasku

GROUP ART UNIT: 1623

SERIAL NO.: 09/852,958

FILED: May 10, 2001

FOR: Compositions and Methods for  
Demonstrating Secretory Immune System  
Regulation of Steroid Hormone Responsive  
Cancer Cell Growth

EXAMINER: To Be Assigned

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INFORMATION DISCLOSURE STATEMENT

Atty. Dkt. No.: 1944-00201

Date: September 11, 2002

Commissioner for Patents  
Washington, D. C. 20231

Sir:

This Information Disclosure Statement, including completed Form PTO-1449, comprises a list of pertinent art of which Applicants are aware. A copy of each publication listed on Form PTO-1449 is enclosed herewith.

The submission of this Information Disclosure Statement and the references submitted therewith is not an admission that the art cited is "prior" with respect to the present invention, nor is it a representation, that no better art exists. Applicants hereby reserve the right to swear behind or otherwise disprove any alleged "prior" nature of any art cited should the facts support and the situation warrant such an action. It is submitted that the art cited does not constitute a bar to the patentability of Applicants' invention under 35 U.S.C. § 102 or § 103.

No Office Action on the merits has been received in the present application. Nonetheless, in the event that an Office Action dated prior to the mailing date of this Information Disclosure Statement has been issued, please charge Deposit Account 03-2769, Conley, Rose & Tayon, P.C., in the amount of \$180, so that this Information Disclosure Statement may be considered under Rule 1.97(c).

Respectfully submitted,

*Carol G. Mintz*  
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01 FC:126 180.00 CR

Adjustment date: 12/23/2002 EEKURAT1  
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Sheet 1 of 2

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Atty. Docket No.  
1944-00201Serial No.  
09/852,958Applicant  
David A. SirbaskuFiling Date  
05/10/2001Group  
1623

## REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
	AA	5,135,849	08/04/92	Soto et al.	435	29	
	AB	5,075,425	12/24/91	Kotitschke et al.	530	387	
	AC	4,859,585	08/22/89	Sonnenschein et al.	435	29	
	AD	4,849,508	07/18,89	Magnin et al.	530	387	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	Translation	
							YES	NO
	AE	EP 0702960A	27/03/96	Europe	A61K 39	395		
	AF	WO 00/06723	10/02/00	PCT	C12N	15/12		
	AG	WO 95/09011	06/04/95	PCT	A61K	48/00		
	AH	WO 91/16061	31/10/91	PCT	A61K	35/14		

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AI	Partial International Search in PCT/US 01/15183, Applicant David A. Sirbasku, International Filing Date 10/05/2001, Date of Mailing 27/08/2002, pages 4
	AJ	Partial International Search in PCT/US 01/15171, Applicant David A. Sirbasku, International Filing Date 10/05/2001, Date of Mailing 29/08/2002, pages 3
	AK	JP Parisot et al., "Altered Expression of the IGF-1 Receptor in a Tamoxifen-Resistant Human Breast Cancer Cell Line," BRITISH JOURNAL OF CANCER, vol. 79, no. 5-6, pp. 693-700, 1999
	AL	David Danielpour et al., "Growth of MTW9/PL2 Estrogen-Responsive Rat Mammary Tumor Cells in Hormonally Defined Serum-Free Media," IN VITRO CELL. DEV. BIOL., vol. 24, no. 1, pp. 42-52, January 1988
	AM	Research Diagnostics Inc., 'Online! 10 January 2000 (2000-01-10), XP002207863, Retrieved from the Internet: <URL:http://www.researchd.com/rdiabs/igref.ser.htm> 'retrieved on 2002-07-29! The whole document, page 1
	AN	Jorge E. Moreno-Cuevas et al., "Estrogen Mitogenic Action. I. Demonstration of Estrogen-Dependent MTW9/PL2 Carcinogen-Induced Rat Mammary Tumor Cell Growth in Serum-Supplemented Culture and Technical Implications," IN VITRO CELL. DEV. BIOL.—ANIMAL, vol. 36, no. 7, pp. 410-427, July-August 2000
	AO	David A. Sirbasku et al., "Estrogen Mitogenic Action. II. Negative Regulation of the Steroid Hormone-Responsive Growth of Cell Lines Derived From Human and Rodent Target Tissue Tumors and Conceptual Implications," IN VITRO CELL. DEV. BIOL.—ANIMAL, vol. 36, no. 7, pp. 428-446, July-August 2000

Form PTO-1449 (Modified)

Atty. Docket No.  
1944-00201Serial No.  
09/852,958**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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Applicant

David A. Sirbasku

Filing Date  
05/10/2001Group  
1623

continuation,

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

AP	Helenice Gobbi et al., "Transforming Growth Factor- $\beta$ and Breast Cancer Risk in Women With Mammary Epithelial Hyperplasia," JOURNAL OF THE NATIONAL CANCER INSTITUTE, vol. 91, no. 24, pp. 2096-2101, December 15, 1999,
AQ	Ruth Sager, "Expression Genetics in Cancer: Shifting the Focus from DNA to RNA," PROC. NATL. ACAD. SCI. USA, vol. 94, no. 3, pp. 952-955, February 1997
AR	Sanford D. Markowitz et al., "Tumor Suppressor Activity of the TGF- $\beta$ Pathway in Human Cancers," CYTOKINE & GROWTH FACTOR REVIEWS, vol. 7, no. 1, pp. 99-102, 1996

EXAMINER

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.